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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Karl W. Terry et al. ) Atty. Dkt. No. 7124.015

Serial No.: 09/938,039 )

Filed: August 23, 2001 )

For: COMPOSITION FOR PROVIDING AN ABRASION RESISTANT COATING ON A  
SUBSTRATE WITH A MATCHED REFRACTIVE INDEX AND CONTROLLED  
TINTABILITY

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This  
Information Disclosure Statement

The following sections are being submitted for this Information Disclosure  
Statement:

1. ☒ Preliminary Statements
2. ☒ Forms PTO/SB/08A and 08B (formerly Form PTO-1449)
3. ☐ Statement as to Information Not Found in Patents or  
Publications
4. ☐ Identification of Prior Application in Which Listed Information  
Was Already Cited and for Which No Copies Are Submitted or  
Need Be Submitted
5. ☐ Cumulative Patents or Publications
6. ☐ Copies of Listed Information Items Accompanying this  
Statement
7. ☐ Concise Explanation of Non-English Language Listed  
Information Items

- 7A. ☐ EPO Search Report
- 7B. ☐ English Language Version
- 8. ☐ Translation(s) of Non-English Language Documents
- 9. ☐ Concise Explanation of English Language Listed Information Items (Optional)
- 10. ☒ Identification of Person(s) Making this Information Disclosure Statement

### **Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

### **Section 2. Forms PTO/SB/08A and 08B (formerly Form PTO-1449)**

- ☒ A completed Form PTO/SB/08A and/or Form PTO/SB/08B is attached hereto.

### **Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)**

### **Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted**

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ (date).

*(complete the following, if applicable)*

- ☐ This application also relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ (date).

The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore, are not required to be provided in this application:

**Section 5. Cumulative Patents or Publications**

**STATEMENT**

\_\_\_\_\_ is cumulative of the following patents or publications listed on Form PTO-1449:

In accordance with 37 C.F.R. § 1.98(c), a copy of only \_\_\_\_\_ is being submitted with this Information Disclosure Statement.

**Section 6. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

- ☐ Exception(s) to above:
- ☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4.
- ☐ Cumulative patents or publications identified in Section 5.

**Section 7. Concise Explanation of Non-English Language Listed Information Items**

**Section 7A. Concise Explanation of Non-English Language Listed Information Items  
- EPO Search Report**

The relevance with respect to the following citations listed on Form PTO-1449:

is submitted on the basis of accompanying:

*(check the appropriate item)*

- ☐ EPO search report that is in the English language,
- ☐ EPO search report that is not in the English language and that is accompanied also by an English language version of the EPO search report,

that issued on the corresponding European patent application.

**Section 7B. Concise Explanation of Non-English Language Listed Information Items  
- English Language Version of EPO Search Report**

**Section 8. Translation(s) of Non-English Language Documents**

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

*(complete the following, if applicable)*

- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

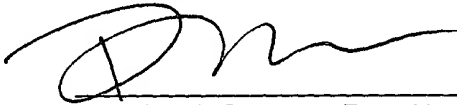
**Section 9. Concise Explanation of English Language Listed Information Items  
(OPTIONAL)**

**Section 10. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the agent/attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the agent/attorney's file

Respectfully submitted,



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Express Mail:EV336511154US  
Date Deposited: September 23, 2003

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known	
Application Number	09/938,039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Group Art Unit	1712
Examiner Name	M. Zimmer
Attorney Docket Number	7124.015

U. S. PATENT DOCUMENTS												
EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number							Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		3	7	0	0	1	3	2		Lohr	12/18/1973	
		3	9	2	2	4	4	0		Wegworth et al.	11/25/1975	
		4	0	2	7	0	7	3		Clark	05/31/1977	
		4	0	8	1	4	2	1		Yoshida et al.	03/28/1978	
		4	3	5	5	1	3	5		January	10/19/1982	
		4	3	9	0	3	7	3		White et al.	06/28/1983	
		4	4	0	5	6	7	9		Fujoika et al.	09/1983	
		4	4	4	2	1	6	8		White et al.	04/10/1984	
		4	4	8	5	1	3	0		Lampin et al.	11/27/1984	
		4	5	9	4	2	9	0		Fischer et al.	06/10/1986	
		4	7	5	6	8	2	7		Mayer	07/12/1988	
		5	0	1	3	6	0	8		Guest et al.	05/1991	
		5	0	1	3	7	8	8		Nagashima et al.	05/07/1991	
		5	1	0	2	6	9	5		Guest et al.	04/07/1992	
		5	1	2	0	8	1	1		Glutfelter et al.	06/09/1992	
		5	3	1	4	9	4	7		Sarawagi	05/24/1994	
		5	3	1	6	7	9	1		Farber et al.	05/31/1994	
		5	3	6	7	0	1	9		Sawaragi	11/22/1994	
		5	7	8	9	0	8	2		Treadway	08/04/1998	
		5	7	8	9	4	7	6		Iryo et al.	08/1998	

## U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number							Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5	9	0	7	0	0	0		Treadway	05/1999	
		5	9	1	9	8	6	0		Roesler et al.	07/1999	
		5	9	5	8	5	1	4		Havey et al.	09/28/1999	
		6	0	0	1	1	6	3		Havey et al.	12/1999	
		6	0	5	7	0	3	9		Takeshita et al.	05/2000	
		6	3	4	2	0	9	7		Terry et al.	01/29/2002	
		6	3	4	6	3	3	1		Harvey et al.	02/12/2002	
		6	3	4	8	2	6	9		Terry	02/19/2002	
		6	5	3	8	0	9	2		Terry et al.	03/25/2003	

## FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Kind Code5 Office 3	Number 4	(if known)			
			2071692	Canada		12/26/1992	
			DE4020316 A1	Germany		01/09/1992	
			DE4118826 A1	Germany		12/12/1991	
			EP0407174 A	EP		01/09/1991	
			EPB0570165	EPB		10/29/1997	
			EPB0601782	EPB		05/28/1997	
			EPO526975 A2	EPO		02/10/1993	
			JP4198379	Japan		07/17/1992	
			JP446975	Japan		02/17/1992	
			JP58141250	Japan		08/22/1983	
			WO9516522	PCT		06/22/1995	
			WO9629154	PCT		09/26/1996	
			WO9846692A	PCT		10/22/1998	
			07-291817	Japan		11/1995	

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EXAM INIT.	Cite No. 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear
		Kind Code5 Office 3	Number 4	(if known)			
			09-118757	Japan		05/1997	

## OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

		Chemical Abstract, Vol. 126, No. 1, January 1997, Columbus, Ohio, US; Abstract No. 9335, KATO, H., E.A.: "Siloxane coat compositions with improved resistance to abrasion, UV, and heat for plastic optical materials" XP002075220 (see abstract & JP 08 239 627 A (Ito Optical Ind Co. Ltd.)
		"Cycloaliphatic Epoxide Based Sol-Gel Derived Materials"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346 Sigel, Domszy and Welch
		"New Type of A Sol-Gel-Derived Inorganic-Organic Nanocomposite"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346, Kasemann, Schmidt, Wintrich

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. \*\*Place of Publication refers to name of publication in which the information was published.